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ATTORNEY DOCKET NO. 10031094-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Richard C. Ruby and John D. Larson, III

Serial No.:

Examiner:

Filing Date: February 23, 2004

Group Art Unit:

Title: Vertically Separated Acoustic Filters and Resonators

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (a) ☒ Under 37 CFR 1.97(b).  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first Office action on the merits; whichever occurs last).
- (b) ☐ Under 37 CFR 1.97(c) together with *either* a:  
☐ Statement under CFR 1.97(e), or  
☐ \$180.00 fee under 37 CFR 1.17(p).  
(After the CFR 1.97(b) time period, but before a final action or notice of allowance, whichever occurs first).
- (c) ☐ Under 37 CFR 1.97(d) together with: a  
Statement under 37 CFR 1.97(e), *and*  
\$180.00 fee as set forth in 37 CFR 1.17(p).  
(After a final action or notice of allowance, whichever occurs first, but before payment of the issue fee).

☐ STATEMENT UNDER 37 CFR 1.97(e)

The undersigned certifies that:

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, *or*
- ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☐ PRIOR APPLICATIONS

References identified with an asterisk (\*) in the enclosed PTO Form 1449, were disclosed in prior Patent Application No. , filed , now U.S. Patent No. , and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

☐ FOREIGN LANGUAGE DOCUMENTS

A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

☐ **FEE AUTHORIZATION**

Please charge to Deposit Account **50-1078** the sum of \_\_\_\_\_. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **50-1078** pursuant to 37 CFR 1.25.

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☐ I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Date of Facsimile:

Typed Name: D. James Chung

Signature: \_\_\_\_\_

Respectfully submitted,

By \_\_\_\_\_

D. J. Chung

Attorney/Agent for Applicant(s)

Reg. No. 41,678

Date: February 23, 2004

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<b>Form PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTORNEY DOCKET NO.</b> 10031094-1	<b>SERIAL NO.</b>
	<b>APPLICANT</b> Richard C. Ruby and John D. Larson, III	
	<b>FILING DATE</b> February 23, 2004	<b>GROUP</b>

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS		
EXAMINER INITIAL	*	DOCUMENT NUMBER	DATE	NAME
	A	5,587,620	December 24, 1996	Ruby et al.
	B	5,873,153	February 23, 1999	Ruby et at.
	C	6,060,818	May 9, 2000	Ruby et at.
	D	6,228,675 B1	May 8, 2001	Ruby et at.
	E	6,265,246 B1	July 24, 2001	Ruby et at.
	F	6,376,280 B1	April 23, 2002	Ruby et at.
	G	6,384,697 B1	May 7, 2002	Ruby
	H	6,429,511 B2	August 6, 2002	Ruby et at.

FOREIGN PATENT DOCUMENT					
		DOCUMENT NUMBER	DATE	NAME	TRANSLATION YES NO

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)		

EXAMINER	DATE CONSIDERED
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